



USAID | BOSNIA-HERZEGOVINA

Issuance Date: May 18, 2005
Closing Date: June 30, 2005
Closing Time: 1600 hours local Budapest time

Subject: Request for Applications (RFA) Number 168-05-018
Civic Advocacy Partnership Program (CAPP) in Bosnia and Herzegovina

The United States Agency for International Development (USAID) is seeking applications from legally-registered local nongovernmental associations or foundations for an Assistance Agreement for a program to support the strengthening of Civic Advocacy in Bosnia and Herzegovina (BiH). The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective of strengthening civic advocacy in Bosnia and Herzegovina. Please refer to the Program Description Framework for a complete statement of goals and expected results.

It is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant. The award will be administered in accordance with the Standard Provisions for Non-U.S., Nongovernmental Organizations (see Section E, Annex I).

Subject to the availability of funds, USAID intends to provide approximately \$3,300,000.00 in total USAID funding to be allocated over a 3-year period. USAID reserves the right to fund any or none of the applications submitted. However, USAID anticipates making one award under this RFA.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C – Framework for Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee;
5. Section E - Annex

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Applicants should retain for their records one copy of all enclosures which accompany their application. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA number (referenced above) inscribed thereon, to:

(By Air Courier or Hand Delivery)
Donella J. Russell, Agreement Officer
U.S. Agency for International Development

Regional Services Center/RCO
Szabadsag ter 7-9
Bank Center, Granite Tower
1944 Budapest, Hungary

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

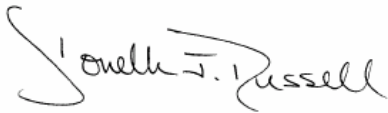
The preferred method of distribution of USAID procurement information is via Fedgrants.gov on the world wide web (www). The World Wide Web Address is <http://www.fedgrants.gov>. Select "Applicant", then click on "USAID Offices", and select the appropriate location and search for the RFA. If you have difficulty with accessing the RFA, please contact Ms. Mercedes Williams at 202-712-1799 for technical assistance. This announcement is also available on the USAID/BiH website at: www.usaid.ba under Key Documents. It is the responsibility of the recipient of the application document to ensure that it has been received from Fedgrants.gov or the USAID/BiH web site in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section B - Selection Criteria;
- (b) Section A - Grant Application Format;
- (c) the Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to Donella J. Russell, via facsimile at (36-1) 475-4988 or via internet at drussell@usaid.gov by May 27, 2005. Any questions received will be answered in an amendment to the RFA and posted on Fedgrants.gov and on the USAID/BiH website at www.usaid.ba

Sincerely,



Donella J. Russell
Agreement Officer
USAID/Budapest/RSC/RCO

SECTION A - GRANT APPLICATION FORMAT

PREPARATION GUIDELINES

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. Late applications will be considered for award only if the Agreement Officer determines it is in the Government's interest.

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Technical applications should be submitted in an original and two copies and a CD or diskette. Cost applications in an original and one copy. Applications must be in English, on A4 paper and single-spaced.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date, time and location indicated in the cover letter accompanying this RFA.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

TECHNICAL APPLICATION FORMAT

The technical application will be the most important item of consideration in selection for award of the proposed cooperative agreement. Therefore, it should be specific, complete and concise and arranged in the order of the evaluation criteria contained in Section B. It should set forth in detail the strategies, interim results, and activities to best accomplish the stated program objectives. Technical applications should not exceed 20 pages in length, **exclusive** of resumes, past performance references, and the illustrative Performance Monitoring and Evaluation Plan.

The Technical Application shall contain the following sections: (a) Cover Page; (b) Application Summary; (c) Narrative; and (d) three Annexes (Illustrative Performance Monitoring and Evaluation Plan (PMEP), Resumes and Past Performance References). Page limitations are specified below for each section. **Any information exceeding the page limitations will not be provided to the evaluation panel. Any information in addition to the required information, such as letters of support, will not be provided to the evaluation panel.**

Applications Should Include:

- A. Cover Page: A single page with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed sub grantees (hereafter referred to as the "subs") should be listed separately. In addition, the Cover Page should provide a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address telephone and fax numbers. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed.
- B. Application Summary: The Application Summary shall not exceed two pages and should summarize the key elements of the Applicant's strategy and approach. The Application Summary should be concise and accurate.
- C. Narrative (17 pages or less): The narrative should contain the following elements:
 1. Technical Approach

The technical approach must set forth the conceptual approach, methodology and techniques for the accomplishment of the anticipated results set forth in Part VI. of the Framework for the Program Description (Section C.) of the RFA. The applicant must demonstrate integration with other program activities supported under USAID Bosnia Strategic Objective – S.O. 2.1 “*A more participatory, inclusive democratic society*” and the Intermediate Result – IR 2.1.1 “*Increased Citizen Participation in Political and Social Decision Making.*” The successful applicant’s Program Description will be included in the award document.

The technical approach should demonstrate the Applicant’s: 1) understanding of the main challenges and opportunities for further civil society development in Bosnia and Herzegovina; 2) understanding of USAID Bosnia’s civil society portfolio; and 3) proposed approach to achieving the results identified under the Framework for the Program Description of the RFA. In addition, the technical approach should offer a description of: 1) how the proposed assistance will be implemented, managed, and sequenced; 2) how coordination with key stakeholders will be achieved; 3) how performance targets in the Performance Monitoring and Evaluation Plan will be established and monitored; and 4) how an effective and prompt launch of the project will be achieved.

As part of the technical approach, applicants should submit an Illustrative First Year Work Plan. This plan will be considered illustrative for the purposes of evaluating proposals; however, once the award is made, finalizing the work plan will be a key activity.

2. Institutional Capacity

Applicants must offer evidence of their technical and managerial resources and expertise (or their ability to obtain such) in program management, grants management, and their experience in managing similar programs in the past. If an organization is proposing to use partners, it should provide the same information for partnering organizations that will be directly involved in program implementation. Information in this section should include (but is not limited to) the following information:

- a) Brief description of organizational history and experience
- b) Examples of accomplishments in developing and implementing similar programs
- c) Relevant experience with proposed approaches
- d) Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines and areas
- e) Composition and organizational structure of the proposed project team (composed of one organization’s staff or several partnering organizations’ personnel) and a description of each team member’s role and technical expertise.
- f) Propose which positions should be designated as Key Personnel (not to exceed 5 inclusive of the Chief Project Manager) and provide resumes, references and letters of commitment for the candidates proposed in an annex.

D. Annexes

1. Performance Monitoring and Evaluation Plan: An illustrative Performance Monitoring and Evaluation Plan (PMEP) must be provided that explains how the applicant proposes to monitor the program and assess program impact. That plan must provide specific impact indicators, including gender-related ones, as appropriate, and a realistic, cost-effective data collection plan (frequency, methods). Performance indicators should seek to measure the results for each project component and establish baseline measurement and targets to assess the impact of proposed activities. It is the applicant’s responsibility to ensure that all costs related to the implementation of the PMEP are included in the cost proposal.

2. Resumes: Resumes are to be included in the Annex for each individual who is proposed as key personnel on the program. The resumes must be no more than two pages each and should include at least three references with telephone numbers or e-mail addresses for each reference. In addition, submit a signed letter of commitment from each key personnel proposed.

3. Past Performance References: Describe all contracts, grants and cooperative agreements which the organization, both the primary Applicant as well as any substantive subgrantees, has implemented involving similar or related programs over the past three years. Please include the following: name and address of the organization for which the work was performed; current telephone number and e-mail address of responsible representative of the organization for which the work was performed; contract/grant name and number (if any), annual amount received for each of the last three years, and beginning and ending dates; brief description of the project/assistance activity.

COST APPLICATION FORMAT

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for assistance awards must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing, including:

- the breakdown of all costs according to each partner organization involved in the program;
- the breakdown of the financial and in-kind cost share, if any, of all organizations involved in implementing this Cooperative Agreement;
- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;
- a procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this Cooperative Agreement).
- a subgrant program in the amount of \$1.9 million, displayed by component

There is no prescribed format for the budget. However, the budget should clearly show how funds will be used to support the activities proposed in the technical application. The budget should display unit costs (if applicable) and costs by year and should include sub-budgets for each component. Suggested line items include, but are not limited to, the following: Personnel, Fringe Benefits, Office Rent, Utilities, Equipment, Communications, Reproduction, Local Travel, Subcontracts and Subgrants.

The budget narrative must explain all costs – and the basis of those costs – contained in the budget. The basis of the costs may be market surveys, recent quotations, current salaries, catalog prices, historical experience, etc. For example, the basis of proposed salaries might be current salaries with annual increases of X%, based on the applicant's personnel policies. Or, the purchase of computer equipment might be based on quotations from three firms.

B. A current Negotiated Indirect Cost Rate Agreement (if the organization has one);

C. Cost sharing by the Applicant and/or its partner organizations is encouraged but not required. Please note the discussion under Special Considerations regarding cost sharing for subgrants.

D. Required certifications and representations (as attached in Section D), including the KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING form which must be completed and signed by all key personnel (but note that the PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING is required from all participants of any training undertaken under the grant but is not required for submission with the application);

E. An award shall be made only when the Agreement Officer makes a positive responsibility determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

For organizations that are new to USAID or for organizations with outstanding audit findings, USAID will perform a pre-award survey to assess the applicant's management and financial capabilities. It is anticipated that pre-award surveys of potential applicants will be conducted during the period July 18-22, 2005. If notified by USAID that a pre-award survey is necessary, applicants must prepare, in advance, the information and documents required in Annexes II and III. Please note that a pre-award survey does not commit USAID to making an award to an organization.

F. Applicants should submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
4. Has a satisfactory record of integrity and business ethics; and
5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations.

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In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

G. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

H. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

I. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

J. Submission of Applications:

1. Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.

2. Faxed applications will not be considered; however, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

K. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets ; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

L. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing by May 27, 2005 to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

M. Grant Award:

1. The Government may award one or more Grants resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see also Section B of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section B, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

2. The Government may award one or more Grant(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).

N. Authority to Obligate the Government - The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.

O. The Contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

P. Foreign Government Delegations to International Conferences - Funds in this [contract, agreement, amendment] may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the Agreement Officer.

SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award.

Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

SELECTION CRITERIA

1. Technical Approach (45 points)

▪ Extent to which the application responds and supports the RFA objectives;
▪ Extent to which the application supports SO 2.1 “A more participatory, inclusive democratic society” and the IR 2.1.1 “Increased Citizen Participation in Political and Social Decision Making”;
▪ Creative, reasonable, fundamentally sound approaches to the each of the components with concrete proposed results;
▪ Clear outline of all activities with articulated vision and understanding of the issues that the program will address;
▪ Efforts to build sustainability and clear expectations of what will be the program's legacy at the end of the cooperative agreement;
▪ Clear outline of the process and criteria for selecting and awarding sub-grants;
▪ Innovative plans for integrating gender considerations
▪ Collaboration with other USAID-funded democracy activities

2. Expected Results and Monitoring (20 points)

▪ The illustrative monitoring and evaluation plan is clearly articulated, including a plan for collecting baseline data and description of indicators;
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3. Institutional Capacity (20 points)

▪ Applicant's organizational knowledge, capability in managing similar civil society development programs;
▪ Clear division of duties and responsibilities among the applicant and any proposed partnering organizations, meaning that each partnering organization has a unique expertise (a niche) to contribute to the overall impact of the program
▪ Composition and organizational structure of the team
▪ Relevant qualifications of key personnel

4. Past Performance (15 points)

▪ Applicant's performance in managing similar civil society development programs
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Cost has not been assigned a weight but will be evaluated for realism, reasonableness, allocability, allowability and cost-effectiveness. Cost sharing will be evaluated on the level of financial participation proposed and the added value it represents to the program.

SECTION C – FRAMEWORK OF PROGRAM DESCRIPTION

I. PROGRAM OBJECTIVE

The overall objective of this three-year Civic Advocacy Partnership Program (CAPP) is to build upon successes from previous USAID civil society programs and to continue supporting further development of BiH civil society toward its long-term sustainability. This activity will fully respond to the recommendations provided in the USAID Civil Society Assessment report¹ and it is designed to be an integral and complimentary element of entire USAID Bosnia Democracy Office portfolio. The focus on this new activity will be to support concrete civic advocacy actions on different levels and an enhancement of the public image and influence of BiH local non-government organizations (NGOs). CAPP also intends to promote public-private partnerships and culture of local philanthropy as one of the crucial steps toward declined dependence on international funding and increased social role of local funding sources, including governments, individuals, corporations, and/or local foundations.

II. INTRODUCTION AND PROBLEM STATEMENT

There are several definitions of civil society. In this program, USAID defines civil society as *“that space between individual and the state where citizens associate according to their own wishes, values, and interests.”*² In other words, civil society is a sphere of citizens’ life outside of their homes and between the state and economy. Therefore, this term encompasses any kind of organized social life of an individual that is voluntary, self-generating, and independent from the government but also bound by some shared norms of interaction. In BiH, the NGO sector is accepted as an engine and, in some cases, a proxy for civil society since the Dayton Peace Agreement.

The development of civil society in BiH has been greatly influenced by a complex and unique political and economic environment comprising internal divisions, policies driven purely by party politics or ethnicity, and intensive international involvement that sometimes diminished and discouraged local initiatives.

According to the 2003 NGO Sustainability Index, the NGO sector in Bosnia and Herzegovina continues to provide positive contributions to the process of building democracy and civil society, relying on its rich experience gained in the post-war period. However, more dramatic improvements are expected in the upcoming years. Major improvements have been already seen in the area of NGO sector consolidation, the quality of services that NGOs provide, and improved collaboration amongst local NGOs and between NGOs and the local government.

Financial Viability still remains the least developed dimension for several reasons. The primary problem is dependence of NGOs upon international donors. Only a few NGOs in BiH diversified their funding by reconnecting with local communities. Solving this problem is imperative as international donors withdraw. Secondly, domestic individual and corporate philanthropy is negligible. Thirdly, the domestic funding sources in the form of local foundations are undeveloped and financially unprepared to shift from pure re-granting activities to self-sustaining granting procedures. However, some steps have been made to improve the culture of individual philanthropy and financial support from municipal governments. In some cases, local/municipal governments are ready to engage in one-to-one fund matching program with NGOs for community initiatives designed to promote local problem solving and participation.

	1998	1999	2000	2001	2002	2003	2004
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¹ For more information see *USAID Democracy And Governance: Major documents at www.usaid.ba*

² See, for example, “Civil Society, Democratization, and Development: Clearing the Analytical Ground,” in *Democratization*, 1:3, (autumn 1994).

NGO SI Ratings	5.6	5.2	4.9	4.5	4.5	4.1	3.9 ³
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In the last year, the BiH NGO sector has become a recognizable factor in the development of a modern BiH society that is searching for its own identity and trying to respond successively to all challenges it is faced with. These results are far more modest in institutional development of NGOs in rural areas or the NGO sector as a whole. Many NGOs in the region lack appropriate access to information, literature, and training or consulting services.

III. PREVIOUS AND CURRENT USAID CIVIL SOCIETY ASSISTANCE

The main Strategic Objective (SO) for the Mission's Democracy and Governance (D&G) Office is SO 2.1 "*A more participatory, inclusive democratic society.*" The Intermediate Result (IR) related to civil society activities is IR 2.1.1 "*Increased Citizen Participation in Political and Social Decision Making,*" which has three lower-level Intermediate Results (IRs).

Since 1996, USAID Bosnia has devoted approximately \$20 million in support of the civil society development activities. From 1999 to 2004, through its core civil society assistance program, entitled Democracy Network (DemNet) program, USAID Bosnia provided training and technical capacity-building support to individual local NGOs to strengthen their internal management systems, develop better relationships with other sectors, and become more effective in the representation of citizens influencing decision making processes for their constituents. In addition to the training and technical Assistance (T&TA) component, DemNet offered different sub-grant component to local NGOs that ensured reinforcement of T&TA activities into practical advocacy actions.

Parallel to DemNet Program, USAID Bosnia provided its assistance in advancing the NGO legislation reform, as well as in improving to grass root civic education and organizing abilities. Later, in 2003, USAID Bosnia identified and started programs in several new areas that required assistance in order to enhance the level of civil society development in BiH: to build capacity of local policy development institutions, to promote individual philanthropy, to support self-regulation of the NGO Sector, and to support NGOs in overseeing government activities.

In June 2004, after five years of the DemNet program, USAID is confident that a significant number of local NGOs, throughout BiH have improved their institutional and financial management capacities. According to the latest USAID Civil Society Assessment, the DemNet program has played a significant role in building a critical mass of professional NGOs throughout the country and representing an array of sub-sectors. "Its focus on internal capacity building has had a direct effect on external performance and impact of beneficiaries, as well as their prospects for sustainability, which has increased their confidence levels."⁴

USAID currently supports six civil society projects listed below in a total value of \$ 9,636,617. In the last several years, USAID/Bosnia has increasingly funded domestic NGOs, when feasible, rather than using international intermediaries.

Civil Society Development Program

Implementer: Centers for Civic Initiative (CCI)

CCI provides assistance to local communities to increase citizen participation in the planning, adoption, and implementation of local budgets. The project also supported a number of advocacy campaigns by issue coalitions dedicated to: (1) De-politicization of the primary school system in Tuzla Canton, (2) improved life conditions for persons

³ The Rate still to be verified by the USAID Washington Review Commission

⁴ See Civil Society Assessment report at www.usaid.ba under the USAID Democracy and Governance: Major Documents.

with disabilities, and (3) environmental protection of the Prokosko Lake and Vranica mountain area. It also included an independent initiative by CCI to introduce direct election of mayors.

NGO Legal Reform Project

Implementer: International Center for Not-for-Profit-Law (ICNL)

The purpose of this activity is to assist local partners representing both the public and private sectors to create enabling legal/regulatory frameworks and tax/fiscal systems for development of the NGO sector in BiH. The project provides technical assistance and information on comparative models and practices.

Policy Analysis and Dialogue Organizations Program

Implementer: Urban Institute

The project's central objective is to increase the volume and quality of locally initiated and conducted policy analysis in BiH. Through this activity, USAID offers training and technical assistance to already existing local institutions, enabling them to become strong, credible, and influential policy development institutes. Eventually, these institutes will become capable of providing high-quality, viable and reliable policy analysis to be utilized in policy development processes. The central objective of the project is to increase the volume and quality of policy research produced by domestic research organizations (PROs) and to ensure that such analysis is provided to policymakers at the time when important issues are being deliberated. In 2004, work was initiated with two existing PROs, PRISMA and the Economics Institute, both of which are based in Sarajevo. Technical advising and grants will be provided to both groups. UI also offers professional training courses for representatives of PROs, NGOs, and the media.

Worker Participation in Civil Society

Implementer: American Center for International Labor Solidarity (ACILS)

This activity supports the recent efforts of BiH unions and their new confederation to become more effective worker representatives through: a) local-level education on how to participate and represent workers in the economic reform process, b) economic counseling services for local unions and their members and c) the establishment of a joint economic policy research unit.

Towards a Sustainable Tomorrow – Partnership, Participation, and Inclusion

Implementer: United Methodist Committee on Relief (UMCOR)

The project aims to promote philanthropy and domestic fundraising in BiH, thus ensuring the continuing viability of local NGOs. An initial effort to exclusively address the cultivation of domestic funding sources in BiH, this project will work closely with local NGO partners, businesses, and media to re-establish a culture of philanthropy. Activities include the design and implementation of awareness campaigns aimed at publicizing NGO partner activities and their benefit to the community, as well as stimulating interest among the public in achieving the goals of the organization. The methodology of fundraising encourages the formation of enduring partnerships among all stakeholders, enabling NGO partners to access a continuous and growing funding system.

Sustainable Development of the Non-Profit Sector in BiH

Implementer: Center for Civil Society Promotion (CCSP)

This activity aims to help modernize civil society in BiH by encouraging local NGOs to assume ownership of the agenda for civil society development. Specifically, it seeks to consensually craft strategies and programs to develop and regulate the sector and introduce institutions/mechanisms to provide for public-private partnerships and to serve as intermediary

support organizations. The project works in partnership with 16 domestic NGO networks, representing 220 domestic organizations from throughout BiH.

Other Democracy Assistance Programs

Media Programs

Support to Independent Media (SIM)

Implementer: Chemonics International, Inc.

The activity—known as the USAID Media Program—is aimed at improving the quality of news and programming available to all Bosnians. It provides training and technical assistance to independent media outlets in newsroom management, business development, independent domestic production, and legal, regulatory and policy issues. The project builds on lessons learned during previous media projects and is introducing new principles to respond to the challenges of the BiH media market. The goal of USAID’s assistance is to create a self-sustaining, independent media in BiH, which is free of political influence and provides Bosnians with easy access to objective information to make informed social and political choices. Media Center is the primary local partner to this program.

Investigative Journalism

Implementer: The Center for War, Peace, and the News Media of New York University

The purpose of this activity is to create a permanent local organization called the Center for Investigative Journalism. This organization will be dedicated to the practice of investigative reporting by local reporters that meets the highest international standards. The center's mission will be to train reporters and editors, and help set Bosnia's news agenda by breaking critical stories that no news organization will be able to ignore. The three main operational goals of the CIN are: (1) to produce high quality investigative report that encourage changes in government and society, (2) to produce a generation of highly trained and skilled reporters and editors and (3) to establish a permanently funded organization.

Political Party and Election related Development Programs

International Republican Institute (IRI) focuses on providing municipal branches of political parties with specific training (planning, research, recruitment of new members, local coalition building, and voter outreach), thus increasing their ability to work on concrete issues of local concern. IRI also provides technical advice to select government ministries on how to structure their executive secretariats and manage their public relations. The program supports local policy analysis and research organizations to encourage issue-based politics and improve policy outcomes as well.

National Democratic Institute (NDI) helps parties’ municipal branches to enhance their connections with local communities. It also works on strengthening State and entity parliaments, and assists parliamentary caucuses and committees to develop ties to their constituents and to improve their efficiency. Within its parliamentary program, NDI administers an internship program deploying selected students to increase the parliament’s staff resources and research capacity.

The Association for Election Officials in BIH (AEO) has a 20 month program providing training for the elected officials, executive officeholders, and advisors aiming to promote their accountability and responsibility to serve the public over their own private interests in the frame of the BIH Conflict of Interest Law. AEO pursues the program in close partnership with the Election Commission of BIH. More than 900 elected and/or appointed officials from the state, canton and municipal level have been trained.

Rule of Law Programs

The Justice Sector Development Project (JSDP): This five-year project strengthens the High Judicial and Prosecutorial Council (HJPC) - an important new state-level institution charged with administering, regulating, and

protecting the judiciary; support the new State MOJ; institute uniform policies and practices in court administration to ensure that legal questions are heard and resolved efficiently and equitably; and establish a national public defender system to ensure adequate counsel for indigent defendants.

The **Administrative Law and Procedural Systems (ALPS)** project works to reform policies and streamline practices at the municipal level to ensure that everyday administrative actions are handled efficiently and legally. Administrative barriers affect the most basic and important components of peoples' lives, including their businesses, jobs, homes, and families. This project designs and implements solutions that address these barriers through training and technical assistance to government employees, public education and citizen advocacy, and legislative change.

USAID is supporting **ABA/CEELI** to carry out legal education reform activities throughout BiH. Specific project activities include the development of a clinical legal program, introduction of moot court and mock trial exercises, and establishment of a legal skills and concept course. The ABA/CEELI activity also includes minimal support for a judicial reform index survey and legal profession reform.

Other Programs

In addition, USAID in partnership with the Swedish International Development Agency (SIDA) are funding the **Governance Accountability Project (GAP)**. The implementing partner for this particular program is Development Alternatives inc. This is a three-year contract which directly impact at least 40 municipalities, through work on process improvements, budget/finance, and local economic development. The program supports policy interventions and implementation of structural reforms through technical and limited material assistance. GAP will improve the ability of municipalities to collectively represent their interests. Finally, there is a component designed to provide vouchers to municipalities for assistance in packaging viable infrastructure projects for commercial banks.

USAID is also providing a 50% principal risk guarantee for up to \$25 million in municipal loans to be made by **Volksbank BH**. Loans will support revenue-generating local investments such as drinking water, waste water, industrial parks, etc. This will be the first large-scale opportunity for municipal governments to access commercial credit markets, and is especially important as donor resources decrease.

IV. OTHER DONORS' ASSISTANCE

Other donors have also been active in supporting civil society development in BiH. Although USAID remains the major donor in this area, European commission, United Nations Development Programme (UNDP), Organization for Security and Cooperation (OSCE), Swedish International Development Cooperation Agency (Sida), Department for International Development (DfID) and Open Society Fund (OSF) play a big role as a donor community in BiH. The future plans of each donor are outlined in the recent USAID civil society assessment report.

Besides the above mentioned donors, there are several USAID-funded Regional Programs that support civil society development activities. These include:

- The Balkan Trust for Democracy that provides grants to 1) local and national organizations working to improve citizen engagement with government, monitoring of government performance, and improving citizen understanding of their rights and responsibilities; and 2) to sub-national and trans-Balkan collaboration among governments, NGOs, civic initiatives, and other institutions working to improve understanding and cooperation throughout the region.
- International Youth Foundation and Balkan Children and Youth Foundation that provide grants for regional collaboration and exchange among youth organizations
- Strengthening Local Democracy: Cross-border Cooperation and Reconciliation (CBCR), implemented by Catholic Relief Services that provides assistance to selected NGOs to improve cross-border collaboration.

V. FRAMEWORK OF PROGRAM DESCRIPTION

This RFA calls for new Civic Advocacy and Partnership Program (CAPP) to build on the successes of USAID civil society programs and to respond to the recommendations outlined in the USAID Civil Society Assessment (see Section E, Annex I). Besides assisting local NGOs, the CAPP intends to assist creation of partnerships among different elements of civil society (NGOs, professional associations, business, governmental institutions, political parties, policy research organizations, and media) to effectively influence public policies and increase public engagement in the reform processes.

USAID Bosnia has identified four objectives or components for this program:

1. Issue-based Coalitions
2. Watch-dog activities
3. Community based advocacy partnerships
4. Rural and Semi-rural development through the Internet Access

These four components will be the subject to program's monitoring and evaluation plan so the applicants are encouraged to:

- propose innovative approach towards substantive and documented progress with regard to these four components;
- identify potential partnering organizations and clearly state the responsibilities of each proposed partner toward the specific component;
- submit clear statement of agreement from all proposed partnering organizations;
- propose benchmarks and the indicators for each of the components which will become a part of monitoring and evaluation plan;
- have general knowledge about the existing USAID Bosnia civil society projects and to demonstrate willingness for coordination in order to jointly work on achieving USAID's intermediate result "*Increased Citizen Participation in Political and Social Decision Making*";

Of the estimated \$3.3 million available for this award, USAID expects the recipient to set aside \$1.9 million for subgrants to Bosnian NGOs in support of the four components above. The following are the USAID's preferences on the allocation of subgrant or subcontract resources:

Component	Approximate share of grant budget
Issue-based Coalitions	50%
Watch-dog activities	25%
Community based advocacy partnerships	15%
Rural and Semi-rural development through the Internet Access	5%
Training and Technical Assistance	5 %

Sub-grants will be only allowable to officially registered Bosnian organizations. Applicants must ensure that the selection process will be transparent and objective. Applicants will be responsible for programmatic and financial sub-grant management. Applicants are encouraged to propose a reasonable sub-grant plan that is within the applicant's management capabilities.

USAID believes that small amounts of cost-sharing should be required when possible for subgrants to encourage fund raising by Bosnian NGOs and domestic philanthropy by Bosnian or international businesses and governmental entities. Matching funds should be outsourced from all available and interested local funding sources, including but not limited to government and public institutions, individuals, corporations, NGOs, foundations, etc. The limits for matching funds

should be set flexibly so that they doesn't deter exceptional initiatives that, by their nature have no possibility to secure matching funds from any other funding source besides international. Matching funds will differ according to components, and in-kind or monetary contributions are allowable.

Component 1 – Issue-based Coalition

This component will promote the development of issue-based coalitions and networks among Bosnian NGOs to effectively advocate and influence public policy, particularly in sub-sectors where engagement of NGOs has been lacking. If the applicant has strong preferences for sub-sectors in which coalitions/networks will be engaged, it should be described in the application. The second aim of this component is to improve the public image of NGOs and their work in BiH. A good media campaign will be essential element of coalition efforts to increase public image and allow for development of domestic philanthropy. Large issue-based coalitions are one of the best tools to influence public opinion and increase public participation in social life. In the past, the public image of NGOs was somewhat damaged by their regional approach, in which NGOs did not prove to the public the benefits and effects of their work. They all deal with issues in their own localities, and the wider public did not learn about the achievements of the NGO Sector. Coalitions wishing to work on political issues and activism will be encouraged, especially in the run-up to the 2006 elections.

For illustrative purposes, USAID supported several strong coalitions in the past that managed to influence policies in several areas, such as foster care for orphans, improvement of legislation related to persons with disabilities, and alcohol and drug addiction. These coalitions will last as long as the issue they work on stays unresolved. While USAID would like to see these efforts continue, and at the same time USAID wants to open possibility to support other strong coalition efforts in other sub-sectors.

In addition to the advocacy sub-grants, coalitions would most likely require some tailored training and technical assistance (T&TA). Guidelines for T&TA are described in the Section VII - Special Considerations. The members of new coalitions should receive guidelines on how to share responsibilities across member organizations and to transfer issues and initiatives from lower levels to a national forum. It is also necessary to ensure practical and adequate knowledge and skills transfer from stronger organizations to weaker organizations within the coalition.

Ideally, this component will develop policy analysis skills within the selected coalitions/networks or promote vertical integration with existing local policy research organizations and action-oriented coalitions/networks at the grassroots level. It is crucial that these efforts allow immediate application of skills and experience and to result in a concrete policy change. Finally, the concept of public-private partnership (with government institutions, political parties, or private sector) should be introduced and applied if possible.

Component 2 – Watch-dog Activities

In the Bosnian context, a *watch-dog* is an informal name given to an individuals or organizations whose aim is to monitor the conduct of decision makers, corporations or any other service provision public bodies in order to protect the public interests. Watch-dog organizations are the eyes and hear of citizens or specific civic groups, such as consumers, environmentalists, etc. Watch-dog groups are proven to be a great instrument in developing policies and laws, in monitoring the implementation of new laws and reform oriented policies. The role of the watch-dog organizations in BiH is not well established. Many sector-based NGOs are providing some insights on implementation of specific laws and regulations. But in general, the voice of these organizations is far from being constant, credible, and loud enough to influence public opinion in BiH. The real implementation of laws and regulations still remains a huge problem. There is an obvious lack of active watch-dog groups that would monitor government decisions, report on their work, and keep officials accountable for their actions.

This component of CAPP is to assist existing interested groups to establish their role in the society as watch-dog organizations, to start influencing public opinion through public awareness campaigns and cooperation with independent media outlets, and to advocate to more transparent and accountable governance. It is possible that in some cases, the watch-dog component of this program is interrelated with some other components. To perform a watch-dog activity, a

group should include a variety of experts, such as professionals in certain topic, policy development, analytical capacity, grass-roots outreach, public relations, and organizational management. All these segments are necessary to develop and implement a system of monitoring of government activities including, establishing policy priorities and decision making process, and reporting and publicizing any discovered misconduct. Very often, these activities require a group to establish joint working groups or councils. Cooperation with the mass media can also be a crucial tool in informing the public and influencing public opinion. This component would require close networks between watch-dog organizations and selected media outlets that will report publicly findings of the watch-dog-activity.

USAID believes that public awareness is an essential element in developing public understanding and getting public to ask and support the reforms. Citizens' interest in participation is crucial element of any vibrant civil society. Therefore, the applicant is encourage to propose its own approach to this problem and to outline possible ways, partners and sectors that would produce tangible results. By the end of this three-year program, USAID expects to support at least three large watch-dog activities on national or entity levels that would include elements of monitoring, analysis, public reporting and policy change.

Component 3 - Community Based Advocacy Partnerships

The participatory approach to the decision making that includes active citizens on demand side and responsive government bodies on the supply side, has been one of the key strategic objectives to USAID Bosnia. Since 1996, USAID has supported extensive and hands-on educational programs that assisted local community residents in pursuing advocacy efforts to address local concerns, promote local government transparency and political accountability, and improve lives. In addition, USAID through its DemNet program provided assistance to numerous community based NGOs to carry out local initiatives that encouraged and facilitated civic involvement, and contributed to the beginnings of civil society in rural communities. These initiatives succeeded in mobilizing citizen participation through volunteer actions to make community improvements or increase NGO membership.

This component will support follow on of the previous USAID Bosnia efforts and by the end of this activity, at least 45 joint advocacy community-level initiatives will be funded to creatively advocate concrete changes within the community based on specific community needs. These initiatives will include the active participation of citizens in project activities and the support of government, business, and local institutions. The grants will be provided to registered community based NGOs and non-registered interest groups of citizens whose efforts are targeted at organizing and implementing actions at the local level. The main objective of these grants is to serve as an incentive for civic and local government participation on local grass-root level for further democratic reform, openness, transparency, and economic revitalization.

Component 4-Rural and Semi-rural Areas Development through the Internet Access

There is an enormous discrepancy between rural and urban civil society development. In bigger cities, citizens have easier access to information sources, including media, internet, NGOs, and different public or social institutions. Citizens in rural area are very often neglected with these information sources or exposed to the government owned information sources, such as state/entity TV or radio outlets. Independent sources of information are rare in these parts of BiH. The consequences of the neglect are inadequate public awareness and lack of diversified information sources, lack of participation of rural-based citizens in community based initiatives and in keeping political leaders responsive. In addition, citizens in rural areas are forced to seek services from the bigger citizens for services such as internet access, business related information, foreign language courses, advanced education, etc. Unfortunately, rural areas lack these services.

To address this issue, in 2001, USAID supported a Teledom Program. The main purpose of this program was to link small or rural communities to modern communication technology and to provide a locus for community development activities by establishing multi-purpose internet-communication and service centers - Teledoms. Twenty two rural NGOs were encouraged to establish Teledoms. They received specialized capacity building training to support these, and helped Teledom managers to form and register the Teledom Association of BiH.

The basic services of Teledom include basic computer education and basic English language education. Each of the Teledoms provides space, as available, for local community meetings, public lectures, and round tables on topics and subjects of public interest and benefit, such as economic development, social and electoral issues, cultural promotion, recreation, sport, tourism, and healthy leaving. Teledom users can easily obtain relevant and important information about the local community including: contact information for local government officials, information and contacts for public institutions, private health institutions, culture and sport institutions, private firms, banks, public and private legal assistance, local NGOs, local craftsmen, tourist bureaus and accommodation services, emergency health and traffic services, public events, and an itinerary of public transport services.

USAID will support expansion of the Teledom Program and to enlarge the coverage and membership of Teledom Association. In the previous period, USAID succeeded to open 22 Teledoms in BiH. By the end of this program, at least 5 new Teledoms will be opened, and the Teledom Association will diversify funds and become financially viable.

VI. ANTICIPATED RESULTS

While the proposal must contain an illustrative first-year work plan and an illustrative Performance Monitoring and Evaluation Plan, the final work plan is due within the 30 days after award. A final Performance Monitoring and Evaluation Plan will be submitted as an integral part of the work plan. The following is an illustrative description of anticipated results:

General anticipated results:

- NGOs start to include domestic funding sources by at least 10 % of their budgets;
- Increased number of volunteers engaged in the work of selected NGOs;
- NGOs reconnected with their communities to improve the public image and capitalize on public support throughout their programs;

Component 1: Issue-based Coalitions

- At least five issue oriented coalitions formed to identify and successfully influence positive policy or legislation change on entity or state level;
- Reasonable and achievable action plans developed that provide all stakeholders input and agreements;
- Established a practical and adequate knowledge and skills transfer from stronger to weaker organizations within the coalition;
- Established coordination with policy research organizations and coalitions or policy research skills developed within the coalitions;
- Selected coalitions able to apply the experience immediately for a concrete policy change;
- Public-private partnership (with government institutions, political parties, or private sector) introduced and applied.

Component 2: Watch-dog activities

- At least four watch-dog activities successfully implemented on state or entity level;
- Selected organizations developed and implemented a system of monitoring of government activities including, establishing policy priorities and decision making process, and reporting and publicizing any discovered misconducts;
- networks or partnerships established between watch-dog organizations and media outlets;
- Increased citizens' awareness about certain topics and improved public support toward watch-dog organizations;

Component 3: Community based advocacy partnerships

- At least 35 sub-grants successfully implemented to promote joint efforts on grass-root level;
- At least 35 concrete changes in communities accomplished that are based on community needs assessment;
- Demonstrated active participation of citizens in all project activities
- Matching funds secured from government, business, and/or local institutions

Component 4: Rural and Semi-rural development through the Internet Access

- At least 5 new Teledoms opened throughout entire BiH
- Teledoms increased self-financing (to cover basic operational costs) through various innovative income generating activities;
- Teledom Association membership increased, sources of funding are diversified with sufficient portion covered by Teledom membership fee.

VII. SPECIAL CONSIDERATIONS

In responding to this RFA, potential applicants should bear in mind the following special considerations:

BiH Capacity Building: USAID Bosnia intends to carry out this program in the direct partnership with a local implementing partner. Only organizations which are legally registered as Bosnian nongovernmental associations or foundations are eligible to respond as prime applicants to this RFA. However, they may do so in partnership with other Bosnian or non-Bosnian organizations.

Training and Technical Assistance (T&TA): USAID considers that it is of a great importance to promote a competitive market-based approach towards training services in BiH. Therefore USAID encourages applicants to address this issue accordingly and to propose a mechanism that would allow for broad and diversified outsourcing of T&TA services within the local market, rather than employing special training expert team within their own organizations. If the applicant decides to provide T&TA in addition to program awards, USAID would recommend using a specific sub-grant mechanism that would leave a space for sub-awardees to select a training provider themselves (in coordination with applicant), and that would put priority on usage of domestic training services. By doing this, CAPP would increase the level of local ownership and also contribute to development of local training capacity. Use of vouchers and other demand-driven techniques will be important. In the case that sub-awardees have no capacity or knowledge of available training options within BiH, the applicant should assist through its own program consultants or through a competitively selected training provider. This will probably be applicable in the case of informal civic groups identified through the grass roots component. In the case that adequate technical or program expertise is not available within the country the applicant should consider expertise from the Central and Eastern Europe that might be the most appropriate to fill the particular training or consultancy needs. Please note that there are specific criteria for third country training contained in ADS 253.

Gender Consideration: In accordance with USAID's policies, all activities will address gender issues as appropriate and promote gender equality in all phases of the activities and internal management. CAPP must address gender concerns in fundamental way. Simply setting aside funds for women's organizations will not be considered sufficient. USAID encourages all applicants to provide additional or alternative recommendations for how to address gender equality in this program.

Geographic coverage: CAPP will be implemented throughout entire BiH, and will not be focused on specific regions.

Authorized geographic codes: The authorized Geographic Code for procurement of goods and services under the proposed award are 000 (United States). However, local procurement in the cooperating country is authorized within the parameters specified in 22 CFR 228.40, "Local Procurement.

Key personnel: The applicant must propose not more than five positions or 5 percent of recipient employees employed under the award as key personnel. Any changes in key personnel will require prior written approval of USAID.

Reporting schedule: The Recipient will provide the following reports to the USAID Cognizant Technical Officer (CTO) and the Agreement Officer, as specified below:

Quarterly Financial Reports: USAID intends to require quarterly financial reporting. The financial reporting forms to be used by the recipient will be specified in the award.

Performance Reports:

Initial Work Plan: Within 30 days of award, the Recipient will be required to submit a draft detailed work plan for the first year of activities to the USAID/BiH CTO for review and approval (two hard copies and an electronic copy). The CTO must provide written comments on the draft plan within three weeks of receipt and when the plan is finalized, the CTO will provide written approval.

The work plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the recipient should: 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) assign responsibilities for completing those steps; 4) provide any quantitative or qualitative targets (e.g., number of persons to be trained, topics of the trainings, etc); and 5) a timeline for the implementation of the task. In addition, the work plan will include (1) the schedule for advertising and soliciting grant applications; and (2) the grant award criteria and selection processes.

The initial work plan must include the recipient's proposed Performance Monitoring and Evaluation Plan, which must establish specific impact indicators, targets, progress benchmarks for the life of the award, and the date by which all baseline data will be established. USAID/BiH and the Recipient will agree upon benchmark measures and indicators of progress toward achieving activity goals. Baseline data must be finalized no later than 180 days after the award is made. All person-level indicators must be disaggregated by gender, if required.

Annual Work Plan: Annual work plans for subsequent years are due to the CTO 30 days before the end of the preceding award year (two hard copies and an electronic copy). The work plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the awardee should 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) outline any special issues that the recipient will target for that year; 4) assign responsibilities for completing those steps; 5) provide any quantitative or qualitative targets (e.g., number of persons to be trained); and 6) a timeline for the implementation of the task.

Quarterly Performance Reports: The Recipient shall submit quarterly performance reports (two hard copies and an electronic copy) to the CTO. The reports will focus on the reporting of outputs, accomplishments, lessons learned and barriers to successful outcomes.

Final Report: A final performance report (two hard copies and one electronic) will be required under this award. USAID will review and comment within 30 days of receipt. The final performance report will:

1. Contain an overall description of the activities under the Program during the period of this Cooperative Agreement, and the significance of these activities;
2. Summarize the program's accomplishments and impact regarding the strengthening of civic advocacy in BiH, as well as any unmet targets and the reasons for them;
3. Elaborate the issues and problems that emerged during program implementation and the lessons learned in dealing with them; and
4. Provide comments and recommendations regarding unfinished work and/or future needs as well as recommendations for what issues no longer require donor assistance.

Monitoring and Evaluation

Performance monitoring and evaluation

The proposal must contain an illustrative Performance Monitoring and Evaluation Plan (PMEP) that must include indicators, targets, data sources and collection methods, baseline information or a timeline for collecting it, benchmarks and periodic evaluations.

The Recipient's monitoring and evaluation plan will be submitted for USAID/BiH approval as part of the detailed work plan. This plan will identify key monitoring methods and routine activities to ensure the achievement of activity objectives. The plan will also detail the Recipient's approach to evaluation, including special evaluation activities and methods appropriate to the strategic framework.

USAID Disability Policy - Assistance (December 2004)

(a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:

<http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.

(b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

SUBSTANTIAL INVOLVEMENT

- USAID will be substantially involved in approving specified key personnel of the Recipient.
- USAID will be substantially involved in approving the Recipient's annual work plans. Any significant changes by the recipient to the approved work plan will require additional approval.
- All sub-grants awarded under the proposed cooperative agreement will require prior written approval of USAID/BiH. The USAID Cognizant Technical Officer (CTO) will: (1) approve, in writing, all recipients and amounts of the proposed sub-grants, and (2) participate on the review committees as an ad hoc and non-voting member for all sub-grants under the Agreement.

SECTION D

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".

CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website :

<http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website:

<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signed: _____
(Typed Name and Title)

Date

(Name of Organization)

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
-------------------------------	----------	---------------------

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/ DESCRIPTION	QUANTITY	EST. UNIT	GOODS COMPONENTS	PROBABLE SOURCE	GOODS COMPONENTS	PROBABLE ORIGIN
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(Generic)

COST

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	PROBABLE ORIGIN	INTENDED USE
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(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SUPPLIER (Non-US Only)	NATIONALITY	RATIONALE for NON-US
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(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED	DISPOSITION
-------------------------------	----------	------------------------	----------	-------------

6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

1. Does the applicant have 501(c)(3) status?

☐ Yes ☐ No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

☐ 3 or Fewer ☐ 15-50
☐ 4-5 ☐ 51-100
☐ 6-12 ☐ over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

☐ Less than \$150,000
☐ \$150,000 - \$299,999
☐ \$300,000 - \$499,999
☐ \$500,000 - \$999,999
☐ \$1,000,000 - \$4,999,999
☐ \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes ☐ No

5. Is the applicant a non-religious community based organization?

☐ Yes ☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes ☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes ☐ No

8. Is the applicant a local affiliate of a national organization?

☐ Yes ☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.

SECTION E – ANNEXES

ANNEX I

ADDITIONAL RESOURCES

1. To view the cost principles for non-profit organizations contained in OMB Circular A-122, go to this web site:
http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html
2. For guidance on preparing a results-oriented Program Description, follow this link:
<http://www.usaid.gov/pubs/sourcebook/usgov/>
3. To view the Standard Provisions for Non-U.S., Nongovernmental Organizations applicable to USAID agreements, follow this link:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
4. To view the USAID/BiH Strategic Objective for Democracy, click on USAID Strategic Plan at this web site: <http://www.usaid.ba/>
5. To view the Civil Society Assessment Report, click on Democracy and Governance and then Reports at this web site: <http://www.usaid.ba/>

ANNEX II

PRE-AWARD SURVEY

BACKGROUND INFORMATION ON ORGANIZATION

Good Morning XXX:

Please provide us (digitally, so it can be easily inserted into our report) a brief but reasonably descriptive background summary describing the XXX, including:

- organization type,
- date of organizing,
- how capitalized?
- affiliations?
- location,
- key-staff,
- board structure,
- current activities
- history, mileposts, major events,
- prior grants? From whom? For what? How much?
- accomplishments,
- objectives, goals,
- mission statements,
- size: annual budget, number of staff, important statistics
- publications, if any
- are periodic audits being done? By whom?
- Is there an internal auditor?
- brief description of USAID project for which past or potential future funding was used or is intended, and
- any other information that would be useful in gaining a basic understanding of XXX's operations.

Regards,

XXX, Sr. Financial Analyst
USAID RSC/ RFMC /Budapest

ANNEX III

PRE-AWARD SURVEY - DOCUMENT REQUEST

Checklist of Requested Documents

The following documents (when applicable) should be provided by the potential recipient to the Pre-Award Survey Team. Please identify each document in the upper right hand corner with corresponding request number as listed below. If a specific document requested is deemed not applicable (N/A) please include a typewritten sheet so indicating, showing the request number in the upper right hand corner of the page and include a brief explanation of the reason for non applicability. If possible documents should be provided in the English language. If documents, such as incorporation certifications, are not available in English, please attach a short translation or explanation in English describing the foreign language document. The documents should be provided in duplicate. The documents provided must be copies, not originals. The documents will not be returned to the potential Recipient. Failure to follow these instructions will result in unnecessary delays in the processing of the application.

1. Written description recipient's organizational structure
2. Documentary evidence of formation or incorporation
3. Documentary evidence of tax exemption status
4. Copies of latest Tax Returns, if applicable.
5. Organizational by-laws
6. Executive summary of entities' history, include mileposts of major events
7. Organization chart (showing names of key people)
8. List of the Board of Directors
9. Copies of minutes from last two Board of Directors meeting.
10. Statement of policy for dealing with participation by the Board of Directors or audit committee in internal control matters, and audits.
11. Organizational mission statement
12. Statement of organizational goals and objectives
13. Description of current organizational activities
14. Code of conduct (way a person or organization acts, appropriate behavior)
15. Code of ethics (regards system of Organizational values and governing principles)
16. Business plan for current year
17. Business plan - strategic, long-term
18. Accounting Manual
19. Cash management policy covering cash in Banks and Petty Cash
20. Chart of Accounts with descriptions specific to the recipient
21. Human resources policy and procedures manual
22. Policy for dealing with actual or apparent conflicts of interest.
23. Employee Handbook
24. Position descriptions for key people
25. Position descriptions for key financial management
26. Copies of CV or Resume for key management personnel
27. Policy statement (if any) dealing with managements' commitment to competence
28. Compensation guidelines, timekeeping, salaries, and benefits
29. Travel and per-diem guidelines
30. Audited Financial Statements for the last three years including Management Letters
31. Latest internal audit report
32. Current financial statements
33. Last pages from the general ledger, payroll, purchasing, and labor distribution journals (this is to verify that accounting records are posted currently).

34. Copies of insurance policies, front pages only
35. Procurement Manual, policies and procedures
36. Receiving, warehousing and distribution procedures
37. Fixed Assets Handbook or policy statement as described in item # 38
38. Statement of policy for the recording, use, safeguarding, and disposal of assets (such as commodities, vehicles, equipment, and tools, supplies) purchased either by the recipient or directly by USAID
39. Fixed Assets Inventory, with the corresponding identification codes, item description, date of purchase, unit cost, accumulated depreciation, etc.
40. Intangible assets inventory
41. Copies of agreements, (if any) between USAID and the recipient
42. Copies of sub-agreements between the recipient and other implementing entities, as applicable.
43. Copies of pertinent contracts and subcontracts with third parties, if any.
44. Copy of most recent bank statement for the separate bank account used to manage USAID funds, or other bank account.
45. Proposed project documentation prepared by recipient for USAID use
46. Documentary evidence supporting prior project management experience of recipient.
47. Any other documentary information that would be pertinent or useful in gaining an understanding of the potential Recipient's operations.